

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/900,751	07/06/2001	Keith D. Allen	R-386

CONFIRMATION NO. 4567

FORMALITIES LETTER



OC00000006370981

DELTA GEN, INC.
1003 Hamilton Avenue
Menlo Park, CA 94025

RECEIVED

AUG 01 2001

BY: *Jim*

Due: 01/01/01
Filed: 03/01/02

Date Mailed: 08/01/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

10/15/2001 BABRAHA1 00000033 09900751

01 FC:201	370.00 OP	FILED UNDER 37 CFR 1.53(b)	11/14/2001 YGIZAW	00000006 501271	09900751
02 FC:205	65.00 OP				
03 FC:203	9.00 OP				
04 FC:202	210.00 OP	Filing Date Granted	FC:202	23.00 CH	19.00 OP
05 FC:204	140.00 OP				
06 FC:299	10.00 OP				

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.

Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- Total additional claim fee(s) for this application is \$415.

- \$280 for 7 independent claims over 3.

- \$135 for multiple dependent claim surcharge.

Adjustment date: 11/09/2001 YPOLITE1
10/15/2001 BABRAHA1 00000033 09900751
03 FC:203 -9.00 OP
06 FC:299 -10.00 OP

- The oath or declaration is missing.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

- The balance due by applicant is \$ 835.

11/09/2001 YPOLITE1 00000019 501271 09900751
01 FC:202 947.00 CH 19.00 OP

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because

Adjustment date: 11/14/2001 YGIZAW
10/15/2001 YPOLITE1 00000019 501271 09900751
01 FC:202 947.00 CR -19.00 OP

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

Void date: 11/14/2001 YGIZAW
11/14/2001 YGIZAW 00000002 501271 09900751
01 FC:202 233.00 CR -19.00 OP

- This application clearly fails to comply with the requirements of 37 CFR 1.821-1.825. Applicant's attention

09900751 19.00 OP
09900751 233.00 CH
09900751 19.00 OP

is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

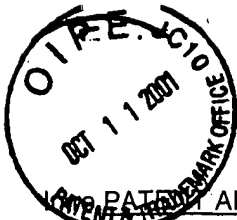
- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
FILING COMPLETION UNDER RULE 53(f)

Patent APPLICATION of

Inventors: Keith D. ALLEN et al.

Appln. No.: 09/900,751

Filed: July 6, 2001

Title: Transgenic Mice Containing Serine Protease Gene Disruptions

Atty. Docket No. **R-386**

Deposit Account No. 50-1271

Order No. **R-386**

Date: **October 1, 2001**

Commissioner for Patents
BOX MISSING PARTS
Washington, D.C. 20231

Sir:

The following **completes the filing** under Rule 53(f) of the above-identified patent application:

1. ☒ Enclosed is a copy of the Notice to File Missing Parts.
2. ☒ Signed Declaration enclosed ☒ Original / ☐ facsimile/copy
3. ☒ Enclosed is an Assignment and cover sheet. Please return the recorded Assignment to the undersigned.
4. ☒ Enclosed is a printed sequence listing and a diskette containing same.
5. ☒ Enclosed is a set of drawings with corrections made.
6. ☒ Applicants state that the content of the sequence listing information recorded in computer readable form is identical to the written sequence listing and includes no new matter, as required by 37 CFR 1.821.
7. ☒ Applicants hereby claim "small entity" status in accordance with 37 CFR § 1.27.

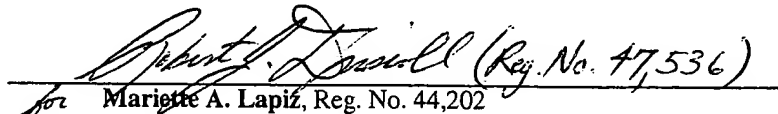
THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

Basic Filing Fee				\$355.	\$	\$355.00	201
Total Claims	21	minus 20 =	01	x 9.	+	9.00	203
Independent Claims	09	minus 3 =	06	x 40.	+	240.00	202
Multiple Dependent Claims				135.	+	135.00	
Surcharge for filing Declaration/filing fee late				65.	+	65.00	205
FILING FEE: <input type="checkbox"/> CHARGE AUTHORIZATION <input checked="" type="checkbox"/> ENCLOSED =				\$ 804.00			
Original due date: October 1, 2001							
Petition is hereby made to extend the original due date to cover the date of this response, for which the requisite fee is enclosed.				\$ 55. / 195. 445. / 695.		.00	
If Assignment is included, add recording fee				\$ 40.	+	40.00	581
TOTAL FEE (enclosed): =						\$844.00	

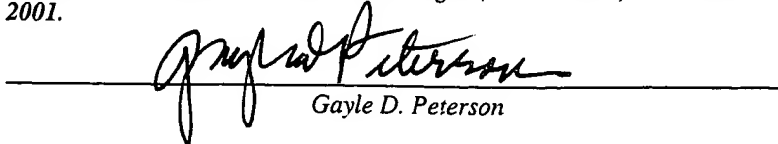
CHARGE STATEMENT: The Commissioner is hereby authorized to charge any missing fees required, or credit any overpayment, to our Account/Order No. shown above, for which a duplicate copy of this sheet is enclosed.

DELTAGEN, INC.

1003 Hamilton Avenue
Menlo Park, CA 94025
Tel: (650) 463-5836
Fax: (650) 752-0202


for **Mariette A. Lapiz**, Reg. No. 44,202

I certify that the enclosed papers are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231, on **October 1, 2001**.


Gayle D. Peterson

R-386



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
FILING COMPLETION UNDER RULE 53(f)

Sector 1/B
Box Sequence

In re PATENT APPLICATION of

Inventors: Keith D. ALLEN et al.

Appln. No.: 09/900,751

Filed: July 6, 2001

Title: Transgenic Mice Containing Serine Protease Gene Disruptions

Atty. Docket No.

Deposit Account No.

Order No.

R-386

50-1271

R-386

Date: **October 1, 2001**

Commissioner for Patents
BOX MISSING PARTS
Washington, D.C. 20231

Sir:

The following **completes the filing** under Rule 53(f) of the above-identified patent application:

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2. ☒ Signed Declaration enclosed ☒ Original / ☐ facsimile/copy
3. ☒ Enclosed is an Assignment and cover sheet. Please return the recorded Assignment to the undersigned.
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THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

Basic Filing Fee				\$355.	\$	\$355.00	201
Total Claims	21	minus 20 =	01	x 9.	+	9.00	203
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TOTAL FEE (enclosed): =						\$844.00	

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DELTAGEN, INC.

1003 Hamilton Avenue
Menlo Park, CA 94025
Tel: (650) 463-5836
Fax: (650) 752-0202

Robert L. Duvall (Reg. No. 47,536)
for Mariette A. Lapi, Reg. No. 44,202

I certify that the enclosed papers are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, BOX MISSING PARTS, Washington, D.C. 20231, on **October 1, 2001**.

Gayle D. Peterson
Gayle D. Peterson

R-386



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DELTAGEN, INC.
1003 Hamilton Avenue
Menlo Park, CA 94025

Date Mailed: 08/01/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

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Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
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 - \$280 for 7 independent claims over 3 .
 - \$135 for multiple dependent claim surcharge.
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- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention

is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

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*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

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